

Electronic Acknowledgement Receipt

EFS ID:	6383316
Application Number:	10655409
International Application Number:	
Confirmation Number:	6575
Title of Invention:	Computer-implemented securities trading system with a virtual specialist function
First Named Inventor/Applicant Name:	Timothy M. Keiser
Customer Number:	63710
Filer:	Glen Farbanish/LAURA ALTO
Filer Authorized By:	Glen Farbanish
Attorney Docket Number:	98-HSX001-C5
Receipt Date:	03-NOV-2009
Filing Date:	04-SEP-2003
Time Stamp:	15:43:46
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
------------------------	----

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	NPL Documents	Advisory_Action_for_US_Application_Serial_No_10-822484_mailed_060814_3pgs.pdf	123133 d25968b4b18b77adbc10ac09fac201d1a0292e	no	3

Warnings:

Information:

2	NPL Documents	11-279997_Office_Action_01-14-09.pdf	445885 4b1ca067ca017bde7ak28e44b806951e19054	no	15
Warnings:					
Information:					
3	NPL Documents	11-279997_Interview_Summary_07-09-09.pdf	61706 c181e994a6b0c000c514051924e91076d4	no	2
Warnings:					
Information:					
4	NPL Documents	11-279997_Interview_Summary_06-22-09.pdf	61321 d4b1c370182c2c55348b4415385b-245085eaf	no	2
Warnings:					
Information:					
5	NPL Documents	10-822484_Interview_Summary_03-22-07.pdf	170823 51f0c0ed48abe58c9c31205b5888503858524	no	3
Warnings:					
Information:					
6	NPL Documents	10-822484_Interview_Summary_07-10-09.pdf	165927 970e07d8d07ee0815581042715c17c93e70019	no	4
Warnings:					
Information:					
7	NPL Documents	10-301527_Office_Action_10-08-03.pdf	212137 a02a75708608b593d175092f314363b94c61800	no	6
Warnings:					
Information:					
8	NPL Documents	10-301527_Office_Action_07-28-04.pdf	235404 c71e3f129d44bc5765d8bdc6005cc8478a5c5c3	no	6
Warnings:					
Information:					
9	NPL Documents	10-301527_Office_Action_11-23-04.pdf	169870 e59001ad0051709a9f6c6adb2412a4101c02a6889	no	5
Warnings:					
Information:					
10	NPL Documents	10-301527_Office_Action_04-25-05.pdf	492959 d8ba28a2918944157b23bcbaf9371d1465e8f7	no	10
Warnings:					
Information:					

11	NPL Documents	11-351614_Office_Action_09-1 9-07.pdf	512474 67c2cd1841ac0c6238cd8ab5d45c35428	no	11
Warnings:					
Information:					
12	NPL Documents	11-351614_Office_Action_10-0 2-08.pdf	679436 5c78a1648b4b4883f12de69f5c3d4b2547d84	no	15
Warnings:					
Information:					
13	NPL Documents	09-382907_Office_Action_09-1 2-00.pdf	475114 43bde1d7aca905d7440782dfdc53dacf5b156e	no	11
Warnings:					
Information:					
14	NPL Documents	09-382907_Office_Action_05-2 9-01.pdf	310311 ab95ee7d5c0512ce00ec9517f303deef52581d4	no	9
Warnings:					
Information:					
15	NPL Documents	09-382907_Office_Action_05-0 9-02.pdf	327947 f9857d6164ac090c0d87ec0c08c50ba14888c079ed7	no	9
Warnings:					
Information:					
16	NPL Documents	09-382907_Office_Action_04-3 0-03.pdf	282805 8da7725bc9cd0a6f55904e168cd0002865c499a	no	8
Warnings:					
Information:					
17	NPL Documents	09-382907_Notice_of_Allowance_11-25-08.pdf	543770 796a0d08f9f52b23e1d6081312657d211875e62	no	13
Warnings:					
Information:					
18	NPL Documents	11-189262_Office_Action_01-1 1-08.pdf	901406 81cd558d6d2c7b6b6e947af92f9fa11aac0f802	no	23
Warnings:					
Information:					
19	NPL Documents	11-189262_Office_Action_09-3 0-08.pdf	471366 88cc310d13107d6f46f0147956ef6f1a6f2c8f	no	15
Warnings:					
Information:					

20	NPL Documents	NPL_PTO_Office_Action_11351 614_09-18-2009.pdf	538981 4abb30b7f04513e62e4b2835471189a1 1d2e9	no	12
Warnings:					
Information:					
21	NPL Documents	NPL_PTO_Office_Action_11189 262_08-21-2009.pdf	665946 6a30b7b57cd8f9c9777528cb3042945c 3bc25	no	19
Warnings:					
Information:					
22	NPL Documents	NPL_PTO_Office_Action_10667 755_01-12-2009.pdf	655238 56d5eed5daf3735c983d4f5cda30751c6e8 c3bf	no	19
Warnings:					
Information:					
23	NPL Documents	NPL_PTO_Office_Action_10667 755_05-14-2008.pdf	681819 959847cc8246254f168a4f054e45d7bc4941 7af	no	19
Warnings:					
Information:					
24	NPL Documents	NPL_PTO_Office_Action_10667 923_08-02-2005.pdf	449035 73c3080c4e4d018f95601b19b3a6445c85 d031	no	12
Warnings:					
Information:					
25	NPL Documents	NPL_PTO_Office_Action_10667 923_12-01-2006.pdf	643606 43a71f7be932bdc9932ccac27739b7aab5 57e99	no	17
Warnings:					
Information:					
26	NPL Documents	NPL_PTO_Office_Action_10667 923_02-28-2007.pdf	156690 21c30ba3c2b64644b4168c777db520ba05 fc168	no	3
Warnings:					
Information:					
27	NPL Documents	NPL_PTO_Office_Action_10667 923_08-31-2007.pdf	443339 4199cd8996c4f00bed3eedca340a1a32a9 d8c3f	no	9
Warnings:					
Information:					
28	NPL Documents	NPL_PTO_Office_Action_10667 923_01-28-2008.pdf	500928 5c379a5c3f8e49b95912991d11026a895 9e18	no	10
Warnings:					
Information:					

29	NPL Documents	NPL_PTO_Office_Action_10667 923_04-16-2008.pdf	115647 2c6c34a628a99655234b11304daaef1933 1b4d1f	no	3
Warnings:					
Information:					
30	NPL Documents	NPL_PTO_Office_Action_10667 923_05-15-2008.pdf	498375 c3ba0917188abaf86290a0ba36c7e78ce0b6f 6299a	no	11
Warnings:					
Information:					
31	NPL Documents	NPL_PTO_Office_Action_10667 923_11-04-2008.pdf	593167 afcc28cecf5abb3eb56991748538f5b51ab3 eb631	no	13
Warnings:					
Information:					
32	NPL Documents	NPL_PTO_Ex_Int_10667923_09 -15-2009.pdf	167570 6a273119407ac7de70c1d286ff1ab1c0a8e 270f	no	4
Warnings:					
Information:					
33	NPL Documents	NPL_PTO_Ex_Int_10667755_07 -20-2009.pdf	167700 8b7fec8a1a095cf3d5889b547687898fc52 6a2	no	4
Warnings:					
Information:					
34	NPL Documents	NPL_Kiele_Caveat_Emptor.pdf	299003 1871310d63c903b147344312fec6Aaafcc 6a15	no	6
Warnings:					
Information:					
35	NPL Documents	NPL_Atlantic_International_Ent ertainment.pdf	96530 b8c5814616e91117c11d24fb41a2a974e0 2240	no	2
Warnings:					
Information:					
36	NPL Documents	NPL_Donnelly_Philadelphia_Pa rk.pdf	120501 8b9d55734ca85167acbe15196a51b4d733 4d95a	no	2
Warnings:					
Information:					
37	NPL Documents	NPL_Big_Names_Raise.pdf	187767 3a28b4e1d7a2346c3a673b10819b7959e0f 7f9198	no	3
Warnings:					
Information:					

38	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_050506_5pgs.pdf	180755 c7e8b10b36d87388fc155b61353f3d27558d8c	no	5
Warnings:					
Information:					
39	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_051107_16pgs.pdf	618009 911975d6e1c91d6c8ab71c95a7ce2300770d0	no	16
Warnings:					
Information:					
40	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_060531_19pgs.pdf	759244 0be7e4f8e4b393d6e426c73ba095d6c119041c0b	no	19
Warnings:					
Information:					
41	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_061201_8pgs.pdf	314417 e9612288bbee1eaf6b4c614395dad805414f	no	8
Warnings:					
Information:					
42	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_070605_15pgs.pdf	544181 6280ba27518b75c5ec119faf69514153c764803	no	15
Warnings:					
Information:					
43	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_071120_15pgs.pdf	566452 ecc1b8c0042ef5ce48b800b5b7e9e26184b3a695	no	15
Warnings:					
Information:					
44	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mailed_080617_21pgs.pdf	783630 59177ca1fa030eade11ba04973ae1d452323a14	no	20
Warnings:					
Information:					
45	NPL Documents	NPL_PTO_NOA_10822484_10-01-2009.pdf	729677 3d367f98e6697d1d6c330b667d6120a3d6ef80c1	no	19
Warnings:					
Information:					
46	NPL Documents	09-465607_ExaminerInterview_Summary_mailed_010524.pdf	77266 8b0a15ee1a1d3ed1ee4922182252837fec118	no	2
Warnings:					
Information:					

47	NPL Documents	11-379171_Office_Action_091006.pdf	918351 052c2a0900ca3a0e96b2ced3bba51570b65	no	28
Warnings:					
Information:					
48	NPL Documents	09-382907_Advisory_Action_030903.pdf	111174 f6ca146f1b30b650bbed2995a27f32a09d3	no	3
Warnings:					
Information:					
49	NPL Documents	08-620906_Office_Action_Mailed_980515.pdf	401555 27773ba11c4ffcc569579bc192b6b627b2672f	no	14
Warnings:					
Information:					
50	NPL Documents	08-620906_Office_Action_Mailed_981201.pdf	245180 f9fb3ce18c726bd08a015dd88c14cbe71b9f9b7d	no	9
Warnings:					
Information:					
51	NPL Documents	08-620906_Office_Action_Mailed_990607.pdf	192234 d4db16c490c512f711b15b13c56976155d421	no	4
Warnings:					
Information:					
52	NPL Documents	09-184571_Office_Action_Mailed_000623.pdf	438548 611418ec572b6fd6d8ca8703158c6e1c2e06	no	13
Warnings:					
Information:					
53	NPL Documents	09-184571_Office_Action_Mailed_010123.pdf	157341 55cd00ce10d2d0b4038cc64d00efa1b7179f802a	no	6
Warnings:					
Information:					
54	NPL Documents	09-184571_Office_Action_Mailed_010425.pdf	73268 90d3a150cb48d7deb5c33bd4020979d94a743e4	no	2
Warnings:					
Information:					
55	NPL Documents	09-184571_Notice_of_Allowance_Mailed_021104.pdf	203579 82b1d92bafce13d2c388cb278b70c0567c2e32	no	4
Warnings:					
Information:					

56	NPL Documents	60-462176_Application.pdf	194681 9f001db7ba00d0cebb3ab5e727ed6d175c7f5e9	no	3
Warnings:					
Information:					
Total Files Size (in bytes):				21135178	
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					